

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)	
)	
Ronald E. Sloan et al.)	Group Art Unit: 3684
)	
Application No.: 09/930,786)	Examiner: Nga B. Nguyen
)	
Filed: August 15, 2001)	
)	
For: AUTOMATED FINANCIAL)	Confirmation No.: 3301
PORTFOLIO COACHING AND)	
RISK MANAGEMENT SYSTEM)	

MAIL STOP AF

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97(d) and 37 C.F.R. § 1.97(e)(2)

Pursuant to 37 C.F.R. §§ 1.56, 1.97(d) and § 1.97(e)(2), Applicant brings to the attention of the Examiner the documents on the attached listing. This Supplemental Information Disclosure Statement is being filed after a Notice of Allowance but before payment of the issue fee and is accompanied by a fee of \$180.00 as specified under § 1.17(p) and a statement as specified under § 1.97(e).

The following constitutes the statement specified by 37 C.F.R. § 1.97(e)(2). No item of information contained in the Supplemental Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the Supplemental Information

Disclosure Statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the Supplemental Information Disclosure Statement.

Copies of the listed non-patent literature documents are attached.

Applicant respectfully requests that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached form.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claims in the application and Applicant determines that the cited documents do not constitute "prior art" under United States law, Applicant reserves the right to present to the office the relevant facts and law regarding the appropriate status of such documents.

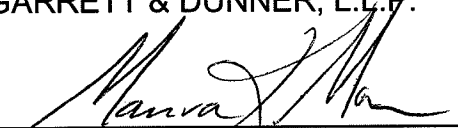
Applicant further reserves the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to Deposit Account 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,
GARRETT & DUNNER, L.L.P.

By: _____


Maura K. Moran
Reg. No. 31,859
(617) 452-1657

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